



ANDREW M. CUOMO  
Governor

## Department of Health

HOWARD A. ZUCKER, M.D., J.D.  
Commissioner

SALLY DRESLIN, M.S., R.N.  
Executive Deputy Commissioner

December 12, 2017

**CERTIFIED MAIL-RETURN RECEIPT REQUESTED**

Shashibala Soni, M.D.  
[REDACTED]

Re: License No. 128754

Dear Dr. Soni:

Enclosed is a copy of the New York State Board for Professional Medical Conduct (BPMC) Modification Order No. 17-344. This order and any penalty provided therein goes into effect December 19, 2017.

Please direct any questions to: Board for Professional Medical Conduct, Riverview Center, 150 Broadway, Suite 355, Albany, New York 12204, telephone # 518-402-0846.

Sincerely,

[REDACTED]

Robert A. Catalano, M.D.  
Executive Secretary  
Board for Professional Medical Conduct

Enclosure

cc: Amy Hong, Esq.  
Legal Aid Society  
199 Water Street, 3rd Fl.  
New York, New York 10038

IN THE MATTER  
OF  
SHASHIBALA SONI, M.D.

MODIFICATION  
ORDER

Upon the proposed Application for a Modification Order Pursuant to N.Y. Pub. Health Law § 230(10)(q) of SHASHIBALA SONI, M.D. (LICENSEE), which is made a part of this Modification Order, it is agreed to and

ORDERED, that the attached Application, and its terms, are adopted and SO ORDERED, and it is further

ORDERED, that this Modification Order shall be effective upon issuance by the Board, either

- by mailing of a copy of this Modification Order, either by first class to Respondent at the address in the attached Application or by certified mail to Respondent's attorney, OR
- upon facsimile transmission to Respondent or Respondent's attorney, whichever is first.

SO ORDERED.

DATE: 12/07/2017

  
ARTHUR S. HENGERER, M.D.  
Chair  
State Board for Professional Medical Conduct

1  
NEW YORK STATE DEPARTMENT OF HEALTH  
STATE BOARD FOR PROFESSIONAL MEDICAL CONDUCT

IN THE MATTER  
OF  
SHASHIBALA SONI, M.D.

APPLICATION  
FOR  
MODIFICATION  
ORDER

SHASHIBALA SONI, M.D., represents that all of the following statements are true:  
That on or about September 24, 1976, I was licensed to practice as a physician in  
the State of New York, and issued License No. 128754 by the New York State Education  
Department.

My current address is [REDACTED]  
and I will advise the Director of the Office of Professional Medical Conduct of any change  
of address.

I am currently subject to Determination and Order No. 12-71 of the Hearing  
Committee (Attachment I, henceforth referred to as "Original Order"), which went into  
effect on April 12, 2012, after a hearing held pursuant to N.Y. Pub. Health Law §230(10)(p)  
before a Committee of the Board for Professional Medical Conduct. Pursuant to N.Y. Pub.  
Health Law §230(10)(q), I hereby apply to the State Board for Professional Medical  
Conduct for an Order (henceforth "Modification Order"), modifying the Original Order, as  
follows:

- The sanction imposed in the Original Order was a limitation of license to  
practice in a government licensed or operated healthcare facility under direct  
medical supervision.

The sanction imposed shall be modified, as follows:

- Upon the effective date of the Modification Order, the limitation of license shall be modified to strike so much of the limitation as limits Respondent's practice to a government licensed or operated healthcare facility under direct medical supervision; henceforth, Respondent may practice as an employee either of a health care facility or of another licensed physician in a group practice setting, with the express prior written approval of the Director of the Office of Professional Medical Conduct. Respondent's license shall continue to be limited as enumerated below:
  1. Respondent shall practice medicine only in such setting as has been preapproved by the Director as provided above.
  2. Respondent shall submit a written request regarding each proposed practice setting to the Director of OPMC, specifying all facility practices, locations, employers, and practice responsibilities. The Director shall exercise reasonable discretion in reviewing, accepting, or rejecting Respondent's written proposal(s).
  3. Respondent shall be precluded from billing directly for medical services, whether performed by herself or others. Accordingly, Respondent's proposal (referenced in paragraph 2, above) shall include an explanation of the proposed process for billing for Respondent's medical services. Respondent's proposal shall

also include a signed Acknowledgement by the practice's principal, chief financial officer, or other appropriate individual responsible for the practice's billing processes ("Principal"). In the Acknowledgement, the Principal shall specifically affirm:

- a. familiarity with the terms of this Modification Order;
- b. knowledge of Respondent's preclusion from billing directly for medical services, whether performed by herself or others; and
- c. the accuracy of Respondent's explanation, in her proposal to the Director of OPMC, of the proposed process for billing for Respondent's medical services.

Respondent shall be under a continuing obligation to cause the Principal to notify the Director of OPMC immediately of any violation of the terms of this Modification Order, and of any change in billing processes involving Respondent's participation.

- Upon the effective date of the Modification Order, Respondent shall be placed on probation for a period of 36 months, subject to the terms in the attached "Attachment II."

and

- All remaining Terms and Conditions will continue as written in the Original Order.

I make this Application of my own free will and accord and not under duress, compulsion or restraint, and seek the anticipated benefit of the requested Modification. In consideration of the value to me of the acceptance by the Board of this Application, I knowingly waive my right to contest the Original Order or the Modification Order for which I apply, whether administratively or judicially, and ask that the Board grant this Application.

I understand and agree that the attorney for the Bureau of Professional Medical Conduct, the Director of the Office of Professional Medical Conduct and the Chair of the State Board for Professional Medical Conduct each retain complete discretion either to enter into the proposed agreement and Modification Order, based upon my application, or to decline to do so. I further understand and agree that no prior or separate written or oral communication can limit that discretion.

DATE Nov 30, 2017

— [REDACTED]  
SHASHIBALA SONI, M.D.  
RESPONDENT

The undersigned agree to Respondent's attached Application for Modification Order  
and to its proposed penalty, terms and conditions

DATE 12/11/17

[REDACTED]  
AMY HONG, Esq.  
Attorney for Respondent

DATE: 12/7/17

[REDACTED]  
KEITH W. SERVIS  
Director  
Office of Professional Medical Conduct

**ATTACHMENT I**

# PUBLIC



Nirav R. Shah, M.D., M.P.H.  
Commissioner

Sue Kelly  
Executive Deputy Commissioner

April 10, 2012

**CERTIFIED MAIL - RETURN RECEIPT REQUESTED**

Rita Dave, Esq.  
26 Court Street – Suite 1212  
Brooklyn, New York 11242

Joel Abelove, Esq.  
NYS Department of Health  
ESP-Corning Tower-Room 2512  
Albany, New York 12237

**RE: In the Matter of Shashibala Soni, M.D.**

Dear Parties:

Enclosed please find the Determination and Order (No. 12-71) of the Hearing Committee in the above referenced matter. This Determination and Order shall be deemed effective upon the receipt or seven (7) days after mailing by certified mail as per the provisions of §230, subdivision 10, paragraph (h) of the New York State Public Health Law.

As prescribed by the New York State Public Health Law §230, subdivision 10, paragraph (i), (McKinney Supp. 2007) and §230-c subdivisions 1 through 5, (McKinney Supp. 2007), "the determination of a committee on professional medical conduct may be reviewed by the Administrative Review Board for professional medical conduct." Either the Respondent or the Department may seek a review of a committee determination.

All notices of review must be served, by certified mail, upon the Administrative Review Board and the adverse party within fourteen (14) days of service and receipt of the enclosed Determination and Order.

The notice of review served on the Administrative Review Board should be forwarded to:

James F. Horan, Esq., Chief Administrative Law Judge  
New York State Department of Health  
Bureau of Adjudication  
Hedley Park Place  
433 River Street, Fifth Floor  
Troy, New York 12180

The parties shall have 30 days from the notice of appeal in which to file their briefs to the Administrative Review Board. Six copies of all papers must also be sent to the attention of Mr. Horan at the above address and one copy to the other party. The stipulated record in this matter shall consist of the official hearing transcript(s) and all documents in evidence.

Parties will be notified by mail of the Administrative Review Board's Determination and Order.

Sincerely,

**REDACTED SIGNATURE**

James F. Horan  
Chief Administrative Law Judge  
Bureau of Adjudication

JFH:cah

Enclosure

State Of New York : Department Of Health  
State Board For Professional Medical Conduct

In the Matter of

Shashibala Soni, M.D.  
a/k/a Shashibala Sehgal (Respondent)

Determination and Order No. 12-71

**COPY**

Eleanor C. Kane, M.D. (Chair), William A. Tedesco, M.D. and David F. Irvine, DHSc, RPA-C, duly designated members of the State Board for Professional Medical Conduct, served as the Hearing Committee in this matter pursuant to New York Public Health Law (PHL) §§230(10)(e) & 230(10)(p)(McKinney Supp. 2012). James F. Horan, Administrative Law Judge, served as the Committee's Administrative Officer. The Department of Health (Petitioner) appeared by Joel Abelove, Esq. The Respondent appeared by Rita Dave, Esq. The Committee reviewed documents and testimony and heard arguments from both parties. A stenographic reporter prepared a transcript of the proceeding. After consideration of the record, the Hearing Committee sustains the charges that the Respondent's Federal conviction for income tax evasion and the Respondent's failure to provide access to patient information constitute professional misconduct. The Committee votes 3-0 to limit the Respondent's license to practice medicine in New York State (License) to practice in a State or federally licensed health care facility, under direct medical supervision.

**Background**

The State Board for Professional Medical Conduct (BPMC) functions pursuant to PHL §230 *et seq.* as a duly authorized professional disciplinary agency of the State of New York.

The Petitioner brought this case before BPMC pursuant to PHL §230(10)(p), which provides an expedited hearing (Referral Proceeding) for charges alleging a violation under New York Education Law (EL) §§6530(9)(a)(ii)(McKinney Supp. 2011). That statute defines professional misconduct to include engaging in conduct that results in a Federal criminal conviction. In a Referral Proceeding, the statute limits the Committee to determining whether the criminal conviction occurred, whether to impose a penalty against the New York license and, if so, the nature and severity for the penalty against the license, In the Matter of Volkoff v. Chassin, 89 N.Y.2d 250 (1996). The Petitioner also charged that the Respondent engaged in professional misconduct under the definition in EL § 6530(40) by failing to provide access to patient information under the requirements at PHL § 18. Copies of the Notice of Referral Proceeding and the Statement of Charges are attached to this Determination and Order as the Appendix.

At the beginning of the hearing, the Committee's Administrative Officer accepted 13 documents into the hearing record from the Petitioner: the Notice of Referral Proceeding, Statement of Charges and Affidavit of Service [Exs. 1-3], a New York State Education Department document relating to the Respondent's New York Licensure [Ex. 4], copies of documents from the United States District Court relating to Respondent's indictment and conviction [Exs. 5-6], a photocopy of Title 18 USC § 371 [Ex. 7], letters from Patients A-D to the Respondent, Lisa Saunders and/or the Office for Professional Medical Conduct [Exs. 8-11] and letters relating to the proceeding and a copy of a Report of Interview [Exs. 12-13]. The Respondent offered no exhibits into the record. The record from the hearing also included the hearing transcript, pages 1-89. The record in the proceeding closed when the Administrative Officer received the transcript on March 1, 2012.

**Witnesses**

**For the Petitioner:**

**REDACTED**

**For the Respondent:**

**Shashibala Soni Sehgal, M.D.**

**Findings of Fact**

The Committee made the following Findings of Fact after reviewing the entire record in this matter. The brackets following the Findings cite to exhibits in the record (Ex.) or testimony from the hearing (T) that the Committee found persuasive in arriving at a particular finding. In instances in which other information in the record conflicts with the evidence on which the Committee relied in making the Findings, the Committee considered and rejected that other information. Under PHL § 230(10), the Petitioner bore the burden to prove its case by a preponderance of the evidence. The Committee agrees unanimously on all Findings.

1. The Respondent received her License (# 128754) from the New York State Education Department on September 24, 1976 [Ex. 4].
2. The Respondent maintained medical offices in Brooklyn and Manhattan, among other locations [Ex. 6].
3. The Respondent was found guilty following trial, in the United States District Court for the Eastern District of New York, for conspiracy to defraud the United States, a criminal offense under Title 18 USC § 371 [Ex. 5].

4. The District Court sentenced the defendant to 51 months imprisonment, with credit for time served, and to pay restitution to the United States Internal Revenue Service totaling \$1,587,882.00 [Ex. 5].
5. Patient A requested a copy of his medical records from the Respondent in October 2008 and the Patient had yet to receive copies of the records as of the date of this hearing [Ex 8; T 11-16].
6. Patient B requested a copy of her medical records from the Respondent in January 2009 and the Patient had yet to receive copies of the records as of the date of this hearing [Ex. 9; T 11-16].
7. Patient C requested a copy of her medical records from the Respondent in June 2009 and had yet to receive copies of the records as of the date of this hearing [Ex 10; T 11-16].
8. Patient D has attempted to obtain a copy of her medical records from the Respondent, without success as of the date of this hearing [Ex. 11; T 11-16].

#### Hearing Committee Conclusions

The testimony from REDACTED [T 11-16] and letters in evidence from Patients A-D demonstrated that the Respondent failed to provide Patients A-D with copies of the Patients' medical records with the Respondent upon the Patients' requests. The Committee sustains the allegations in the Second through Fifth Specifications of Misconduct. The Respondent's failure to provide access to the Patients' records constituted professional misconduct under EL §6530(40) and constituted a violation under PHL § 18. The violations, however, occurred during the Respondent's Federal incarceration and evidence from the Respondent at the hearing satisfies

the Committee that the Respondent is addressing this matter and that the Patients will obtain their records. The Committee declines to impose a penalty on the records access violations.

Further evidence at the hearing [Ex. 5 & Ex. 6] proved that the Respondent was convicted of conspiracy to defraud the United States and was sentenced to incarceration and restitution. The charges underlying the conviction alleged that the Respondent conspired with others to conceal her income from the IRS. Engaging in conduct that results in a Federal criminal conviction constitutes professional misconduct under PL § 6530(9)(a)(ii). The Committee sustains the First Misconduct Specification. The Petitioner asked the Committee to revoke the Respondent's License due to the conviction. The Respondent argued that other persons were running her life and making her financial decisions and that the criminal conviction resulted from the control that others exerted over the Respondent. The Respondent asked to retain her License and offered to accept whatever conditions on the Respondent's practice that the Committee thought appropriate.

#### Determination On Penalty

The Committee votes 3-0 to limit the Respondent's License pursuant to PHL § 230-a(3) to practice under immediate medical supervision, in a medical facility licensed or operated by New York State or the United States governments (such as a hospital holding licensure under PHL Article 28 or a hospital operated by the United States Veteran's Administration).

The Committee rejected the request for revocation for two reasons. First, there was no allegation concerning the Respondent's skills and knowledge as a physician. Second, the District Court imposed a severe enough sanction against the Respondent for her criminal

conduct. The Respondent was convicted for serious criminal conduct, but she received a heavy sentence that included imprisonment and that requires the Respondent to provide restitution to the Federal Government.

The Committee voted to limit the Respondent's practice to remove her from private practice and from any concerns over managing an office or billing for services. The Respondent admitted that she gave other persons control over her financial affairs and that admission raised serious concerns among the Committee over the Respondent's judgment in financial matters. The limitation will restrict the Respondent to hospitals or other regulated health care institutions, with established lines of supervision, and allow the Respondent to concentrate on providing patient care.

#### ORDER

Based on the foregoing, the Committee issues the following ORDER:

1. The Committee sustains the First through Fifth Specifications of Misconduct contained in the Statement of Charges [Ex. 2];
2. The Committee limits the Respondent's License to practice in a government licensed or operated healthcare facility, under direct medical supervision.

DATED: April 8 , New York  
2012

REDACTED

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Eleanor C. Kane, M.D. (Chair),  
William A. Tedesco, M.D.,  
David F. Irvine, DHSc, RPA-C

TO: Rita Dave, Esq.  
26 Court Street, Suite 1212  
Brooklyn, NY 11242

Joel Abelove, Esq.  
Associate Counsel  
New York State Department of Health  
Bureau of Professional Medical Conduct  
Corning Tower - Room 2512  
Empire State Plaza  
Albany, New York 12237

**Appendix**  
**Statement of Charges (attached)**

STATE OF NEW YORK  
STATE BOARD FOR PROFESSIONAL MEDICAL CONDUCT

DEPARTMENT OF HEALTH

IN THE MATTER

OF

SHASHIBALA SONI, M.D.  
aka SHASHIBALA SEHGAL, M.D.  
aka SHASHIBALLA PRAVINKUMAR SEHGAL, M.D.  
aka SHASHIBALA JAITLEY, M.D.  
[REDACTED]

NOTICE OF

REFERRAL

PROCEEDING

TO: SHASHIBALA SONI, M.D.  
aka SHASHIBALA SEHGAL, M.D.  
aka SHASHIBALLA PRAVINKUMAR SEHGAL, M.D.  
aka SHASHIBALA JAITLEY, M.D.

[REDACTED]  
PPC Alderson  
Glen Ray Rd.  
Box A  
Alderson, WV 24910

PLEASE TAKE NOTICE THAT:

An adjudicatory proceeding will be held pursuant to the provisions of New York Public Health Law §§230(10)(p) and New York State Administrative Procedures Act §§301-307 and 401. The proceeding will be conducted before a committee on professional conduct of the State Board for Professional Medical Conduct (Committee) on the 25<sup>th</sup> day of August 2011, at 10:00 a.m., at the offices of the New York State Department of Health, Hedley Park Place, 433 River Street, 5<sup>th</sup> Floor, Troy, NY 12180.

At the proceeding, evidence will be received concerning the allegations set forth in the Statement of Charges, that is attached. A stenographic record of the proceeding will be made and the witnesses at the proceeding will be sworn and examined.

You may appear in person at the proceeding and may be represented by counsel who shall be an attorney admitted to practice in New York state. You may produce evidence and/or sworn testimony on your behalf. Such evidence and/or sworn testimony shall be strictly limited to evidence and testimony relating to the nature and severity of the penalty to be imposed upon you. Where the charges are based on the conviction of state law crimes in other jurisdictions, evidence may be offered that would show that the conviction would not be a crime in New York State. The Committee also may limit the

number of witnesses whose testimony will be received, as well as the length of time any witness will be permitted to testify.

If you intend to present sworn testimony, the number of witnesses and an estimate of the time necessary for their direct examination must be submitted to the New York State Department of Health, Division of Legal Affairs, Bureau of Adjudication, Hedley Park Plaza, 433 River Street, Fifth Floor South, Troy, NY 12180, ATTENTION: HON. JAMES F. HORAN, ACTING DIRECTOR, BUREAU OF ADJUDICATION (Telephone: (518-402-0748), (henceforth "Bureau of Adjudication") as well as the Department of Health attorney indicated below, no later than ten (10) days prior to the scheduled date of the Referral Proceeding, as indicated above.

Pursuant to the provisions of New York Public Health Law §230(10)(o), you shall file a written answer to each of the charges and allegations in the Statement of Charges not less than ten (10) days prior to the date of the hearing. Any charge or allegation not so answered shall be deemed admitted. You may wish to seek the advice of counsel prior to filing such answer. The answer shall be filed with the Bureau of Adjudication, at the address indicated above, and a copy shall be forwarded to the attorney for the Department of Health, whose name appears below. You may file a written brief and affidavits with the Committee. Six (6) copies of all papers you submit must be filed with the Bureau of Adjudication at the address indicated above, no later than fourteen (14) days prior to the scheduled date of the Referral Proceeding, and a copy of all papers must be served on the same date on the Department of Health attorney, indicated below. Pursuant to §301(5) of the State Administrative Procedure Act, the Department, upon reasonable notice, will provide, at no charge, a qualified interpreter of the deaf to interpret the proceedings to, and the testimony of, any deaf person. Pursuant to the terms of New York State Administrative Procedure Act §401 and 10 N.Y.C.R.R. §51.8(b), the Petitioner demands, hereby, disclosure of the evidence that Respondent intends to introduce at the hearing, including the names of witnesses, a list of and copies of documentary evidence, and a description of physical and/or other evidence that cannot be photocopied.

**YOU ARE ADVISED, HEREBY, THAT THE ATTACHED CHARGES WILL BE MADE PUBLIC FIVE (5) BUSINESS DAYS AFTER THEY ARE SERVED.**

Department attorney: Initial here \_\_\_\_\_

The proceeding may be held whether or not you appear. Please note that requests for adjournments must be made in writing to the Bureau of Adjudication, at the address indicated above, with a copy of the request to the attorney for the Department of Health, whose name appears below, at least five (5) days prior to the scheduled date of the proceeding. Adjournment requests are not routinely granted. Claims of court engagement will require detailed affidavits of actual engagement. Claims of illness will require medical documentation. Failure to obtain an attorney within a reasonable period of time prior to the proceeding will not be grounds for an adjournment.

The Committee will make a written report of its findings, conclusions as to guilt, and a determination. Such determination may be reviewed by the administrative review board for professional medical conduct.

**SINCE THESE PROCEEDINGS MAY RESULT IN A DETERMINATION  
THAT SUSPENDS OR REVOKES YOUR LICENSE TO PRACTICE MEDICINE  
IN NEW YORK STATE AND/OR IMPOSES A FINE FOR EACH OFFENSE  
CHARGED, YOU ARE URGED TO OBTAIN AN ATTORNEY TO REPRESENT  
YOU IN THIS MATTER.**

DATED: Albany, New York

*July 6*, 2011

**REDACTED**

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**PETER D. VAN BUREN  
Deputy Counsel  
Bureau of Professional Medical Conduct**

Inquiries should be addressed to:

Richard J. Zahnieuter  
Associate Counsel  
Bureau of Professional Medical Conduct  
Coming Tower – Room 2512  
Empire State Plaza  
Albany, NY 12237  
(518) 473-4282

STATE OF NEW YORK : DEPARTMENT OF HEALTH  
STATE BOARD FOR PROFESSIONAL MEDICAL CONDUCT

IN THE MATTER  
OF  
SHASHIBALA SONI, M.D.  
aka SHASHIBALA SEHGAL, M.D.  
aka SHASHIBALLA PRAVINKUMAR SEHGAL, M.D.  
aka SHASHIBALA JAITLEY, M.D.  
[REDACTED]

AMENDED  
STATEMENT  
OF  
CHARGES

SHASHIBALA SONI, M.D. aka SHASHIBALA SEHGAL, M.D. aka SHASHIBALLA PRAVINKUMAR SEHGAL, M.D. aka SHASHIBALA JAITLEY, M.D., Respondent, was authorized to practice medicine in New York State on September 24, 1976, by the issuance of license number 128754 by the New York State Education Department.

FACTUAL ALLEGATIONS

A. On or about December 3, 2010, in the United States District Court, Eastern District of New York, Respondent was convicted, after a plea of not guilty and a trial, of Conspiracy to Defraud the United States, in violation of 18 USC §371 (a felony), and was sentenced to 51 months imprisonment, 3 years thereafter supervised release including "full financial disclosure to the Probation Department," \$1,587,882.00 restitution to the Internal Revenue Service, and \$100.00 in assessments, based on Respondent having conspired "to conceal [Respondent's] income from the IRS" after Respondent "received monetary compensation from private and government health care insurance providers for medical services that she provided to her patients."

B. The following patients, in the time frame between 2008 and the present, attempted to obtain their medical records from Respondent, but Respondent failed to provide the patients with access to their medical records:

1. Patient A.
2. Patient B.
3. Patient C.
4. Patient D.<sup>1</sup>

<sup>1</sup> Patients A, B, C, and D are identified in Appendix A, attached for appropriate recipients.

**SPECIFICATIONS OF MISCONDUCT**

**FIRST SPECIFICATION**

Respondent violated New York Education Law §8530(9)(a)(I) by being convicted of committing an act constituting a crime under federal law, in that Petitioner charges:

1. The facts in Paragraph A.

**SECOND THROUGH FIFTH SPECIFICATIONS**

**FAILING TO PROVIDE ACCESS TO PATIENT INFORMATION**

Respondent is charged with committing professional misconduct as defined in New York Education Law §8530(40) by failing to provide access to patient information in accordance with the standards set forth in §18 of the Public Health Law, as added by Chapter 497 of the Laws of 1986, in that Petitioner charges:

2. The facts in Paragraph B and B.1.
3. The facts in Paragraph B and B.2.
4. The facts in Paragraph B and B.3.
5. The facts in Paragraph B and B.4.

DATED: *August 12, 2011*  
Albany, New York

**REDACTED**

PETER D. VAN BUREN  
Deputy Counsel  
Bureau of Professional Medical Conduct

**ATTACHMENT II**

## TERMS OF PROBATION

- 1) Respondent's conduct shall conform to moral and professional standards of conduct and governing law. Any act of professional misconduct by Respondent as defined by N.Y. Educ. Law §§ 6530 or 6531 shall constitute a violation of probation and may subject Respondent to an action pursuant to N.Y. Pub. Health Law § 230(19).
- 2) Respondent shall cooperate fully with, and respond in a timely manner to, OPMC requests to provide written periodic verification of Respondent's compliance with the terms of this Modification Order. Upon the Director of OPMC's request, Respondent shall meet in person with the Director's designee.
- 3) Respondent's failure to pay any monetary penalty by the prescribed date shall subject Respondent to all provisions of law relating to debt collection by New York State, including but not limited to: the imposition of interest, late payment charges and collection fees; referral to the New York State Department of Taxation and Finance for collection; and non-renewal of permits or licenses [Tax Law § 171(27); State Finance Law § 18; CPLR § 5001; Executive Law § 32].
- 4) The probation period shall toll when Respondent is not engaged in active medical practice in New York State for a period of 30 consecutive days or more. Respondent shall notify the Director of OPMC, in writing, if Respondent is not currently engaged in, or intends to leave, active medical practice in New York State for a consecutive 30 day period. Respondent shall then notify the Director again at least 14 days before returning to active practice. Upon Respondent's return to active practice in New York State, the probation period shall resume and Respondent shall fulfill any unfulfilled probation terms and such additional requirements as the Director may impose as reasonably relate to the matters set forth in Exhibit "A" or as are necessary to protect the public health.
- 5) The Director of OPMC may review Respondent's professional performance and compliance with all terms of this Modification Order. This review may include but shall not be limited to: a review of office records, patient records, hospital charts, and/or electronic records; and interviews with or periodic visits with Respondent and staff at practice locations or OPMC offices.
- 6) Respondent shall adhere to federal and state guidelines and professional standards of care with respect to infection control practices. Respondent shall ensure education, training and oversight of all office personnel involved in medical care, with respect to these practices.
- 7) Respondent shall maintain complete and legible medical records that accurately reflect the evaluation and treatment of patients and contain all information required by State rules and regulations concerning controlled substances.

- 8) Within thirty days of the Modification Order's effective date, Respondent shall practice medicine only when monitored by a licensed physician, board certified in an appropriate specialty, ("practice monitor") proposed by Respondent and subject to the written approval of the Director of OPMC. Any medical practice in violation of this term shall constitute the unauthorized practice of medicine.
- a) Respondent shall make available to the monitor any and all records or access to the practice requested by the monitor, including on-site observation. The practice monitor shall visit Respondent's medical practice at each and every location, on a random unannounced basis at least monthly and shall examine a selection (no fewer than 20) of records maintained by Respondent, including patient records, prescribing information and office records. The review will determine whether the Respondent's medical practice is conducted in accordance with the generally accepted standards of professional medical care. Any perceived deviation of accepted standards of medical care or refusal to cooperate with the monitor shall be reported within 24 hours to OPMC.
  - b) Respondent shall be solely responsible for all expenses associated with monitoring, including fees, if any, to the monitoring physician.
  - c) Respondent shall cause the practice monitor to report quarterly, in writing, to the Director of OPMC. These reports shall include Respondent's compliance with the preclusion from billing directly for medical services, as further set forth in this Modification Order. The practice monitor shall notify the Director of OPMC immediately of any violation of the terms of this Modification Order, and of any change in billing processes involving Respondent's participation.
  - d) Respondent shall maintain medical malpractice insurance coverage with limits no less than \$2 million per occurrence and \$6 million per policy year, in accordance with Section 230(18)(b) of the Public Health Law. Proof of coverage shall be submitted to the Director of OPMC prior to Respondent's practice after the effective date of this Modification Order.
- 9) Respondent shall enroll in and successfully complete a continuing education program as directed by the Office of Professional Medical Conduct. This continuing education program is subject to the Director of OPMC's prior written approval. This program shall be successfully completed within the first 90 days of the probation period unless Respondent obtains, in writing, the Director's prior authorization to exceed that 90 day period. The Director, for good cause shown by Respondent prior to the expiration of such 90 day period, shall have full discretion to deny or grant such extension.

- 10) Respondent shall comply with this Modification Order and all its terms, and shall bear all associated compliance costs. Upon receiving evidence of noncompliance with, or a violation of, these terms, the Director of OPMC and/or the Board may initiate a violation of probation proceeding, and/or any other such proceeding authorized by law, against Respondent.